Ethics in Research Policy

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1. Introduction to Ethics in Research

Hugh Baird College is committed to promoting high ethical standards in the conduct of both students and staff who undertake research. Staff and students must be aware of their ethical responsibilities and obligations to consider arising from their research activities. Those undertaking academic activity on Hugh Baird College premises using its facilities but not in the College's name or as part of an approved staff development degree are expected to abide by the standards outlined in this Ethics policy, although formal ethical review and approval might be carried out via other routes as appropriate. Any member of staff who undertakes research at the college as part of a degree program must in the first instance seek consent from their line manager and the chair of ethics committee.

This policy applies to all students and staff at the University Centre and Hugh Baird College, and all research carried out at, or in the name of, Hugh Baird College, including research at other sites and internationally.

Research must be conducted in accordance with all applicable statutory and regulatory requirements, including the RCUK policy and guidelines on governance of good research conduct - research councils UK (2014), the concordat to support research integrity. (2012), European science foundation: The European code of conduct for research integrity (2012) and UK Research Integrity Office Code of Practice for Research: Promoting good practice and preventing misconduct (2009)

1.1 The principle of ***voluntary participation*** requires that people be not coerced into participating in research. This is especially relevant where researchers had previously relied on captive audiences for their subjects, prisons, universities, colleges, and places of work.

1.2 There is also the requirement of ***informed consent***. Prospective research participants must be fully informed about the procedures and risks involved in research and must give their consent to participate.

1.3 Ethical standards also require that researchers do not put participants in a situation where they might be at ***risk of harm*** because of their participation. Harm can be defined as both physical and psychological. There are two standards that are applied to help protect the privacy of research participants.

1.4 All research guarantees the participant's ***confidentiality*** they must be assured that identifying information will not be made available to anyone who is not directly involved in the study. The stricter standard is the principle of ***anonymity*** which means that the participant will remain anonymous throughout the study -- even to the researchers themselves. The anonymity

standard is a stronger guarantee of privacy.

1.5 Prior to the research taking place, the research proposal must be submitted for consideration, comment, guidance, and approval to the subject tutor. They will in turn if required, seek advice and guidance from the Ethics Committee before the commencement of the study.

1.6 Research is broadly conceived to include any form of disciplined inquiry undertaken by staff and students that aims to contribute to a body of knowledge or theory.

1.7 A researcher is someone who conducts the research tasks while working for Hugh Baird College or the University Centre as an or enrolled as a student or a member of staff

2. Basic Principles of Ethical Practice in Research

Research ethics at Hugh Baird College is underpinned by the following commonly agreed principles of ethical research: -

Autonomy - Individuals participating in the research must be made aware of the purpose of the research and be free to take part without coercion or penalty for non-participation. Individuals should be able to withdraw at any time without being required to give a reason and without threat of any adverse consequences arising from their withdrawal.

Beneficial – The research must be worthwhile and provide a reasonable opportunity for securing beneficial outcomes which outweigh any associated risks. The research methodology must be sound, ensuring the best results are obtained.

No Harm – Any harm must be avoided by robust precautions

Confidentiality – Personal data must remain unknown to all but the research team (unless the participant agrees otherwise, or in cases where there is an overriding public interest, or where participants wish their voices to be heard and identified).

Integrity – The researcher must acknowledge any actual or potential conflicts of interest, and undertake their research in a manner that recognises standards of research integrity

Informed Consent

2.1 There should be informed consent from participants before they take part. This means that they should know exactly what they are being asked to do, and what the risks are, **before** they agree to take part. This can never take precedence over their rights whilst research is being carried out.

2.2 An **Information Sheet** is commonly used to provide potential participants with information about the study. It should be written at the appropriate reading age for your specific group of potential participants. Appendix 1 shows an example of an information sheet. Further advice on preparation of the form in available from the library.

2.3 Say who you are; where you are from; and what you are doing.
• Tell the person how/why they were selected to be invited to take part.
• Inform them that, even if they agree to take part, they can change their mind at any time,
without giving an explanation.
• Tell them what they would be asked to do if they agreed to take part.
• Tell them the level of anonymity and confidentiality you can guarantee.
• Say what the information will be used for, how it will be stored, and how long it will be
kept.

2.4 The storage of data will need to comply with the Data Protection Act (1998) and the data must be kept secure and under no circumstances shared with a third party.

2.5 A participant will normally be asked to sign a **Consent Form** to record informed agreement to take part. The library can provide guidance on information sheets and consent form

3. No Pressure on Individuals to Participate

3.1 Incentives to take part should not be provided. If an incentive is used it needs to be only a token, and not enough to encourage someone to participate who would really prefer not to take part.

3.2 You should also not rely solely on the consent of *gatekeepers*, these are:

Parents, Head Teachers, Tutors, and Department Heads. Their consent may be needed before you can approach their students/staff, but *individual* potential participants should also be fully informed, and should have the option of not taking part.

3.3 If a participant fails to complete and return a questionnaire, you need to know in advance what you will do. Will you make a follow-up request for its completion and return and, if so, how will this be worded? It is not good practice to pester people. You need to decide how you follow up non-respondents, if at all.

3.4 Hugh Baird College Staff who wish to use the students that they teach in their research **must seek the consent of the department head** Failure to do so will result in disciplinary action.

4. Respect Individual Autonomy

4.1 Autonomy means the freedom to decide what to do. Even when someone has signed a Consent Form, they must be made aware that they are free to withdraw from the study at any time, *without giving a reason*. They must also be able to request that the data they have given be removed from the study and destroyed.

4.2 You need to be prepared for this possibility, and to have plans for how you would remove the data already given if this is requested. You would need to retain a link from any code or pseudonym that you use, back to the name of the individual, to enable you to carry this out. This link would need to be kept confidential and separate from the data.

4.3 For example you may decide to assign participants in your study either a pseudonym or a number that will be retained throughout the study.

5. Avoid Causing Harm

5.1 The duty of the researcher is not to cause harm or put themselves or participants in danger, whilst conducting their research. Health and Safety at Work Act (1974)

6. Maintain Anonymity and Confidentiality

6.1 The collection and storage of research data by researchers must comply with the
Data Protection Act 1998 and the General Data Protection Regulation (Regulation
(EU) 2016/679) (GDPR)

Collection of data used to be covered by the Data Protection Act 1998, but this was replaced by the General Data Protection Regulation on 25th May 2018.

6.2 Personal data' means any information relating to an identified or identifiable natural person ('data subject'); an identifiable natural person is one who can be identified, directly or indirectly, in particular by reference to an identifier such as a name, an identification number, location data, an online identifier or to one or more factors specific to the physical, physiological, genetic, mental, economic, cultural or social identity of that natural person.

Information relating to a living identifiable person includes expression of opinion about or intentions towards that person

6.3 Making data 'anonymous' means removing the contributor's name. However, you will often need to take more than this basic step to protect a participant's identity. Other information can help to identify people, for example: job title, age, gender, length of service, membership of clubs, and strongly expressed opinions. The more pieces of information that are presented together, the easier it is to identify someone.

6.4 Organisations, educational establishments, and groups may also need their anonymity protected. Geographical information, combined with the type of organization, can give away identity quite quickly. Take as many precautions as you can to protect anonymity, and only promise the level of anonymity that

you can realistically provide.

6.5 Confidentiality' relates to the protection of the data collected. Where the aim of your research is specifically to access private feelings, stories, and concerns, you will need to be clear about how the confidentiality of that data will be respected. You must, be clear about the level of confidentiality you can, and cannot, guarantee.

6.6 Sensitive data that may be collected for research, regarding matters such as age, colour, race/ethnicity, nationality, disablement, religion, sex, gender, sexual orientation, personal medical records, and political beliefs.

6.7 Personal data should not be kept for any longer than is necessary. E.g. If email addresses are collected to send a summary of study results out, once the summary has been sent the email addresses should be destroyed, paper documentation should be shredded

6.8 Participants must be informed of the kinds of personal information that will be collected, what will be done with it, and to whom it will be disclosed.

'Consent 'may need to be obtained where information collected from individuals is to be used later for research purposes

6.9 **Ensure you only collect personal data where necessary for the research**. You anonymize/pseudonyms personal data as soon as possible and have rigorous data security procedures in place

7. Social Media and Confidentiality

7.1 Social networking and other on-line websites such as You Tube, present a challenge for consideration of consent issues. If you use this media, the participants and their interactions are being monitored and analyzed for your research. Even though this media is in the public domain you must obtain the participants permission to use the content for your research. If consent has not been obtained researchers must depersonalise all the data that they use from social media.

7.2 Whilst undertaking research the researcher must not use social media to display or discuss their research unless they have obtained the participant's explicit consent.

8. Working with Traumatic Imagery

8.1 Photographs and video of horrifying, violent acts and traumatic imagery needs to be handled with care, as it can place the wellbeing of those who work with it at and view it risk.

8.2 Exposure to traumatic images can cause distress both to the researcher and to any participants that are involved with the study.

8.3 In order to reduce any trauma you must take steps to minimise unnecessary exposure. Frequency of view should be only what is necessary for the study.

8.4 **Images must not be used that show:**

- Graphic violence, torture, or any extreme violent behaviour.
- Gratuitous nudity or graphic/extreme sexual acts.
- Images depicting children (under the age of sixteen) in a sexual context.
- Explicit drug use.
- Self-harm, suicide, or attempted suicide.
- Hangings or other forms of execution.

9. Misconduct in research

Misconduct in research as including, but not limited to:

a) Fabrication;
b) Falsification;
c) Misrepresentation of data and/or interests and/or involvement;
d) Plagiarism;
e) Failures to follow accepted procedures or to exercise due care in carrying out responsibilities for:
i) avoiding unreasonable risk or harm to:
humans;
animals used in research; and
the environment; and

ii) the proper handling of privileged or confidential information on individuals collected during the research.

10. Responsibility of the student

10.1 It is the responsibility of the researcher prior to their Ethical Application, identifying potential risks for participants. These must be addressed in their ethics application

11. Responsibility of the tutor/supervisor

11.1 All student research must be supervised, and it is the responsibility of the tutor to determine how the research is conducted. The tutor will in the first instance review the ethical issues of the project. For any project they consider substantial risk the Chair of Ethics must be contacted to discuss the proposal in the first instance.

12. Consideration of Ethical Issues for tutors/supervisors

The points listed below will assist tutors in deciding whether a research application requires referral to the Ethics Committee

12.1 Arrangements for the security of data, participants, and confidentiality

12.2 Ensuring the anonymity of participants

12.3 If any payments are to be made to the participants or other rewards granted and the integrity of that related to the research

12.4 The research participants have no direct association with it or the researcher.

12.5 Size of sample proposed for any group enquiry shall not be larger than justifiably necessary

12.6 Any relationship, other than that required by the academic activity, between the researcher and the participants must be declared and **shall not normally result in approval of the academic activity**

12.7 All participants shall be made fully aware of the true nature and purpose of the study

12.8 All participants shall have given their explicit consent

12.9 All participants must be informed at the outset that they can withdraw themselves and their data from the academic activity at any time and they must not subsequently be put under any pressure to continue

12.10 Risks to the researcher, the participants and Hugh Baird College have been assessed

13. Ethical approval is not required when:

The research will only employ information freely available in the public domain. This includes published biographies, newspaper articles, and published minutes of meetings.
The research will only draw upon anonymised records and data sets that already exist in the public domain. (e.g., published by the Office of National Statistics).

It is acknowledged that there are sometimes difficulties in establishing a clear line between research requiring and not requiring ethical approval. Where these situations arise, students are advised to adopt a precautionary approach and follow the ethical approval procedure or seek further advice from their course tutor.

14. Using Artificial Intelligence in Research

Ethical Use of Artificial Intelligence (AI)

As the university centre embraces technological advancements, including the use of AI in research, we recognize the unique ethical considerations that arise in this domain. The following guidelines apply to research involving AI:

14.1. Transparency and Explain ability

- Students using AI are responsible for ensuring transparency and explain ability in their models and algorithms. Clear documentation of AI methods

should be provided to allow for scrutiny and understanding of the decision-making process.

14.2. Fairness and Bias Mitigation

- Students must actively identify and mitigate biases in AI algorithms, ensuring that the technology does not perpetuate existing biases in data or decision-making.

14.3. Informed Consent

- When AI systems are utilized to process data that may impact individuals, informed consent processes should be adapted to include the potential implications of AI-driven analysis.

14.4. Accountability and Oversight

- Students working with AI are accountable for the ethical implications of their work. Regular oversight and review by relevant bodies, including ethics committees, are encouraged.

14.5. Data Privacy and Security

- Protecting the privacy and security of data used for training and operating AI systems is paramount. Adherence to relevant data protection laws and regulations is mandatory.

14.6. Human Oversight and Intervention

- While AI can automate various processes, students must ensure there is a mechanism for human oversight and intervention to address unexpected or harmful outcomes.

14.7. Social Impact Assessment

- Students using AI should consider the broader societal impacts of their work, evaluating potential effects on employment, privacy, social equity, and human interaction.

14.8. Collaboration and Knowledge Sharing

- Ethical considerations in AI research extend to collaboration and knowledge sharing. Researchers are encouraged to openly share methodologies, datasets, and findings, facilitating collective understanding and accountability.

14.9. Responsibility for Outcomes

- Students who use AI systems are responsible for the consequences of their creations. This includes both positive and potentially negative outcomes that may arise from AI utilization.

14.10. Continuous Education and Training

- Given the rapidly evolving nature of AI technologies, students involved in AI-related research must undergo continuous education and training on the latest ethical considerations and best practices.

14.11. Adaptation to Emerging Challenges

- As AI technology evolves, our ethical guidelines for its use will also evolve. We are committed to adapting to address new challenges and ensure ethical AI research

By integrating these AI-specific ethical considerations into our research ethics framework, the aim is to harness the potential of AI while upholding the principles of integrity, transparency and fairness,

APPENDIX 1: Consent Form Template

The consent form template below can be adapted to suit your area of study.
Insert title of study here

You are being invited to participate in a research study conducted by xxxxxxxxxxx Before you make the decision to take part, it is important that you understand why the research is being undertaken and what will be involved. Please read the following information, if you need any more information regarding the study, please feel free to contact me on **xxx xxxx xxxx**(office hours) or email me: xxxxxxx@hughbaird.ac.uk

Thank you for taking the time to read this

What is the purpose of the study?

The purpose of the study is……..

Why have I been chosen?

You have been invited to take part in this study as you are currently on the xxxx. I would therefore welcome your input into my study by allowing me to use transcriptions of your interview for my study.

Do I have to take part?

You do **not** have to take part in the study.

What will happen if I decide to take part?

If you volunteer to participate in this study**,** you will take part in: -

List with bullet points the interview/questionnaire process, how long it will take

• A questionnaire
• A series of 3 interviews lasting no longer than 40 minutes, this will be completely anonymous, and no personal data will be shared with any other parties. These interviews will take place: -

• A focus group consisting of 6 participants including yourself this will take place in Semester 2 of your second year.

• If at any time you wish to have access to the transcripts just contact me. At the end of the study, you will be invited to attend a focus group to discuss the research outcome.

If you are happy to take part in the study, please complete the consent form below to cover the interviews and focus group.

Are there any disadvantages to taking part?

There are no risks involved in taking part as all information will be held securely and there will be full confidentiality and anonymity throughout the study.

What are the benefits of taking part?

You will be involved in a research study and the findings will go towards informing your own teaching practice.

Confidentiality

Information collected will be kept strictly confidential. Privacy and anonymity are assured in the collection, storage, and publication of this research material. Data generated by this study will be held for 5 years.

Participation and Withdrawal

You can choose whether to be in this study or not. If you volunteer to be in this study, you may withdraw at any time without consequences of any kind. You may exercise the option of removing your data from the study. You may also refuse to answer any questions you do not want to answer and remain in the study. The investigator may withdraw you from this research if circumstances arise that warrant doing so**.**
You may withdraw your consent at any time and discontinue participation without penalty. You are not waiving any legal claims, rights, or remedies because of your participation in this research study. This study has been reviewed and received ethics clearance through the Hugh Baird University Centre ethics committee. If you have questions regarding your rights as a research participant, contact**:** *this can be your tutor*

What is the research for?
The research is for my xxx and will be published in my dissertation
Please do not hesitate to contact me if you have any questions regarding the research. **Thank you for your co-operation in the research project.**

Consent form for participants in Research Project
Title of Project:

Researcher: *Your name* (University of XXXX)

Please initial each box

1. I confirm that I have read and understood the participant information sheet for the above study and have had the opportunity to ask questions. ☐

2. I understand that my participation is voluntary and that I am free to withdraw at any time, without giving any reason and without my professional work or legal rights being affected. ☐

3. I give permission for my interview transcripts and views about feedback process to be recorded and to be used in the researcher thesis, and understand it will not be used for any other purpose ☐

4. I understand that any transcriptions or recordings will be securely and anonymously stored according to the requirements of the Data Protection Act. ☐

I agree to take part in the above study.

Name of Participant Date Signature

Name of Researcher Date Signature

APPENDIX 2

Research Ethics Application Form
Guidance Notes for Completion

Should you complete the Ethics Application Form?

You should complete this form if you plan to undertake a research project which will involve people participating in research either directly (e.g., interviews, questionnaires)

Who can I contact for advice on completing the Ethics Application Form?

You can contact the Chair of the ethics committee for advice, however in the first instance you will need to discuss the form with your tutor.

Who decides if ethics approval is required for your proposed research?

Hugh Baird University Centre Ethics Committee decides.

Why is ethics approval necessary?

If the research involves contact with, observation of, or collection and storage of confidential information about human subjects, then you may need ethical approval. The physical, mental, and emotional health and safety, not only of research participants but also researchers, is also a matter of concern: research ethics do not simply protect research subjects but also researchers.
The main purpose of the Ethics Committee procedures for gaining ethics approval is to facilitate the carrying out of your research in a way that protects both you and your research participants.

You should also discuss the completion of the following form with your dissertation tutor.

Which documents should you submit with the application form?

This form should be accompanied by your research proposal and any supporting documentation e.g., copies of any questionnaires, interview schedules introductory letters, consent forms, or other research materials, that you consider appropriate.

At a later stage, you may be asked to submit an information sheet that informs prospective participants about the proposed research and/or a consent form they will sign.

Hugh Baird University Centre

Research Ethics Application Form

Name of student		E-Mail	
Name of Personal Tutor		E-Mail	
Course			
Title of Research			
Summary of project aims (No more than 50 words)			
Summary of project methodology (Not to exceed 500 words)			

All materials submitted to the Hugh Baird University Centre Ethics Committee will be treated confidentially.

The checklist below should be completed with the assistance of your course tutor. This checklist will identify whether a project requires an application for ethics approval, and whether it needs to be submitted directly to the Ethics Committee.

Course tutors are responsible for exercising appropriate professional judgement in undertaking this review and evaluating the research proposal according to the criteria laid down in the checklist.

Please answer the following questions:

1	Does the study involve participants who are unable to give their informed consent (e.g., children, people with severe learning disabilities, unconscious patients etc.) or who may not be able to give valid consent (e.g., people experiencing mental health difficulties)?	**YES/NO**
2	Does the project raise issues involving the potential abuse or misuse of power and authority which might compromise the validity of participants consent (e.g., relationships of line management or tutor)?	**YES/NO**
3	Is there any potential risk arising from the project of physical, social, emotional, or psychological harm or distress to the researchers, participants, or audience?	**YES/NO**
4	Does the project involve a potential risk of causing shock, offence or outrage to researchers, participants, the audience or public?	**YES/NO**
5	Does the project involve researchers and/or participants in the potential disclosure of any information relating to illegal activities; the observation of illegal activities; or the possession, viewing or storage of any material (whether in hard copy or electronic format) which may be illegal?	**YES/NO**
6	Will the deception of participants be necessary during the study?	**YES/NO**
7	Will the study involve invasion of privacy or access to confidential information about people without their permission?	**YES/NO**
8	Will the study involve any external organisation for which separate and specific ethics clearance is required (such as the NHS; any criminal justice agencies including the Police, Crown Prosecution Service, Prison Service, Probation Service, or successor organisations)?	**YES/NO**
9	After completing the Data Protection compliance checklist are there any data protection compliance problems?	**YES/NO**

Please add any additional information that supports your application

If the research proposal needs to go to the Ethics Committee, then all documentation (i.e., Checklist and Data Protection checklists) should be submitted.

A copy of the Data Protection Checklists, as applicable, should also be kept by your tutor and the ethics committee.

If the proposal does not need to be sent to the Ethics Committee all the documents will be returned to the student for revisions. If the research proposal needs to go to the Ethics Committee, then all documentation (i.e., Checklist and Data Protection checklists) should be submitted.

Further advice and guidance can be obtained from the University Centre Library.

Defining what is High/Low Risk Research

To establish if the projects fall into either a low of high-risk category the following information will assist both the student and tutor. If in doubt, please seek advice from Head of Learning Resources

For an application not to be considered High Risk it should not fall into any of the categories listed below. (This is adapted from the ESRC Research Governance Framework)

Research involving potentially vulnerable groups – for example, children and young people, those with a learning disability

Research involving extremely sensitive topics – for example, participants' sexual behaviour, their illegal or political behaviour, their experience of violence, their abuse or exploitation, their mental health.

Research using data not in the public domain or secure data

Research involving deception which is conducted without participants' full and informed consent at the time the study is carried out.

Research involving access to records of personal or sensitive confidential information.

Research which would or might induce psychological stress, anxiety or humiliation or cause more than minimal pain.

Research where the safety of the researcher may be in question

Research undertaken outside the UK where there may be issues of local practice and political sensitivities

Research involving intrusive interventions or data collection methods. Where participants are persuaded to reveal information which they would not otherwise disclose during their everyday life.

Research where the safety of the researcher may be in question.
Research involving respondents through social media and where sensitive issues are discussed.
Research involving methods where participants or other individuals may be identifiable in the visual images used or generated
Research which may involve data sharing of confidential information beyond the initial consent

This box is to be completed by your Tutor:	
Is the proposed research LOW RISK or potentially HIGH RISK? (Please delete as appropriate	
LOW RISK	
HIGH RISK	
Signature of Tutor: **Date:**	

APPENDIX 3

Data protection checklist for Research Purposes

All activities which involve personal data of any kind, in any way, must comply with the Data Protection Act 1998 (DPA).

This checklist will outline the requirements of the DPA and the measures you must take when processing personal data; it will also provide a mechanism for recording the steps you will take to ensure the personal data you are using are safeguarded.

Ensuring personal data are processed fairly and lawfully with due regard for individuals' privacy and ensuring that personal data remain secure are paramount. Demonstrating you have considered the requirements of the Data Protection Act (DPA) when conducting your research will provide assurances to research participants that their personal data is protected at Hugh Baird University Centre

The Information Commissioner's Office (ICO) can issue fines of up to £500,000 for breaches of the DPA and Privacy and Electronic Communications Regulations which are because of negligence or recklessness; therefore, it is important that we get it right from the outset.

If it is possible to use anonymized data so that individuals cannot be identified from it and still achieve their aims, this is always the preferred method of operating. Anonymized data does not constitute personal data because it cannot be used to identify individuals.

What is *personal data*?

Personal Data is data relating to a living individual who can be identified from the data (or from those data and other information in our possession or likely to come into our possession). Personal data can be factual (such as name, address, date of birth) or can be an opinion (such as a professional opinion as to the causes of an individual's behavioural problems). Information can be personal data even if it does not include a person's name or other obvious identifiers; for example, a paragraph describing a specific event involving an individual or a set of characteristics relating to a particular individual may not include their name but would clearly identify them from the set of circumstances or characteristics being described or represented.

What is *processing*?

The DPA is concerned with the processing of personal data means obtaining, recording, or holding the information or data or carrying out any operation or set of operations on the information or data, this includes: –

(a) organization, adaptation or alteration of the information or data,
(b) retrieval, consultation or use of the information or data,
(c) disclosure of the information or data by transmission, dissemination or otherwise making available, or
(d) alignment, combination, blocking, erasure or destruction of the information or data

If your proposed activity involves processing personal data, you must complete the following checklist.

Work to be undertaken	
Activity name/title:	

Processing personal data fairly
The DPA requires us to process personal data fairly and lawfully. In practice, it means that you must: • have legitimate grounds for collecting and using the personal data; • not use the data in ways that have adverse effects on the individuals concerned; • be transparent about how you intend to use the data, and give individuals appropriate *privacy notices* when collecting their personal data; • handle people's personal data only in ways they would expect; and • make sure you do not do anything unlawful with the data.

CHECKLIST

Have you checked and confirmed that the intended uses of personal data in your activity have a legal basis?	Yes/No
If your activity involves *sensitive personal data,* have you checked and	Yes/No/No

confirmed that you can satisfy a condition for processing this kind of personal data from the DPA? Sensitive personal data includes data about racial or ethnic origin; political opinions; religious or similar beliefs; trade union membership; physical or mental health or condition; sexual life; commission or alleged commission of any offences; or any proceedings for any offence committed or alleged to have been committed.	t applicable
If the intended use of the personal data would or would be likely to have an adverse effect on one or more individuals, have you considered and documented why that adverse effect is justified?	Yes/No/Not applicable
Have you documented why you are collecting the specific items of information to demonstrate that you have legitimate grounds for doing so	Yes/No

Have you written an appropriate privacy notice to provide to individuals at the point you collect their personal data? A privacy notice tells individuals how we will use their personal data once we have it.	Yes/No
Consent	
One of the conditions from the DPA which you can satisfy to enable you to process personal data is Consent is defined by the European Data Protection Directive as '…*any freely given specific and informed indication of his wishes by which the data subject signifies his agreement to personal data relating to him being processed*.' Consent must also be appropriate to the age and capacity of the individual and to the circumstances of the case. Even when consent has been given, it will not necessarily last forever. Although in	

most cases consent will last for as long as the processing to which it relates continues, you should recognise that the individual may withdraw consent, depending on the nature of the consent given and the circumstances in which you are collecting or using the information. Withdrawing consent does not affect the validity of anything already done on the understanding that consent had been given? Consent must be *informed* and be freely given; this means it can be withdrawn at any time and you must have a process in place to manage this. Consent can either be explicit or implied: *Explicit consent* is where an individual actively opts into an activity e.g., Tick this box and sign here if you consent to us using your information in this way, then return this form. • *Implied consent* is where you tell an individual what will happen to their information unless they tell you they object e.g. Please sign and return this form. We will use your information for the additional purposes outlined in our privacy notice unless you tell us not to by ticking this box. **If you are processing *sensitive personal data* and relying on consent as your basis for doing so, you must obtain explicit informed consent from individuals**.

If you are planning to obtain consent from individuals before using their personal data, have you checked and confirmed that consent is necessary and is the most appropriate basis for your processing?	Yes/No/Not applicable
If you are processing sensitive personal data, have you planned to obtain individuals' explicit consent?	Yes/No/Not applicable
If you are relying on individuals' consent as a basis for using their personal data, have you developed a process for managing the withdrawal of consent?	Yes/No/Not applicable
If you are obtaining consent, you must ensure that the individual understands their rights and can give consent; If you are processing personal data about children or those with reduced capacity, you need to obtain consent from parents or guardians.	Yes/No/Not applicable

Ensuring personal data are secure always is extremely important.
The DPA requires us to ensure that *appropriate technical and organizational measures shall be taken against unauthorized or unlawful processing of personal data and against accidental loss or destruction of, or damage to, personal data*. It is important that any personal data you collect or use during your activities remains secure until it is destroyed, which includes ensuring that only those who are authorized to access and use the data can do so.

If you are intending to publish information which could identify individuals, have you made those individuals aware that this will happen via your privacy notice and obtained their consent, if appropriate?	Yes/No/Not applicable
Will papers, files, audio visual recordings, CDs, USB (memory) sticks or other media which contain personal data be kept in a secure location?	Yes/No/Not applicable
Do all individuals who will have access to or be using the personal data understand that it must not be provided to any unauthorized person disclosing information to family members or other students unless the data subject has given consent for us to do this)?	Yes/No/Not applicable

Do you have appropriate procedures in place to ensure the security of the personal data? Electronic data must only be removed if it is stored on encrypted devices or media e.g., an encrypted disc or USB stick, an encrypted laptop etc. Alternatively, it can be accessed remotely via a secure connection. If an unencrypted device containing personal data is lost or stolen, it is likely to lead to a substantial fine for a breach of the DPA Non-electronic records must be rigorously always safeguarded and not left unattended or in view of unauthorized people. Laptops, USB sticks and other devices, paper or any other form of personal data must not be left in easily accessible locations such as libraries, classrooms etc.	Yes/No
Will the personal data be stored on the network in a secure location with restricted access, to prevent unauthorized parties who have no right or need accessing the data?	Yes/No

Are all individuals who will have access to or use the personal data aware that personal information should not be stored off the network? Storage under such exceptional circumstances must include the use of appropriate security measures. No personal information should be stored on any removable media e.g., USB sticks, CDs, or devices e.g., laptops, smartphones unless they are encrypted.	Yes/No
Are all individuals who will have access to or use the personal data aware that email is not a secure method of communication and can easily be sent to the wrong recipient and do they know how to encrypt documents so that they can be attached to an email and sent securely	Yes/No
Are all individuals who will have access to or use the personal data aware that any paper documents, electronic media, or hardware which has been designated for disposal must be kept in a secure location until it has been appropriately destroyed and any information it contains is no longer accessible or recoverable?	Yes/No
Are all individuals who will have access to or use the personal data aware that any paper documents, electronic media, or hardware which has been designated for disposal must be kept in a secure location until it has been appropriately destroyed and any information it contains is no longer accessible or recoverable?	Yes/No

Once this form has been completed, it should be attached to your ethics checklist and submitted as directed. If your activity does not require further ethical approval, this form should be retained with your project documentation as a record of your considerations and data protection compliance.

Furthermore, if you require further assistance in completing this form, contact the University Centre Library

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